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Application Number	09/843,124
Filing Date	April 26, 2001
First Named Inventor	Cedric Tang
Art Unit	2161
Examiner Name	
Attorney Docket Number	74577-025

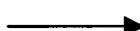
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Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

SIGNATURE of Applicant or Assignee of Record

Name	Gregg I. Goldman, Director and Counsel, Technology and Intellectual Property, UBS AG, Stamford Branch		
Signature			
Date	6-20-03	Telephone	203.719.3099

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

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PTO/SB/81 (05-03)

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Application Number	09/843,124
Filing Date	April 26, 2001
First Named Inventor	Cedric TANG
Title	PRICING DELIVERY SYSTEM
Art Unit	2161
Examiner Name	
Attorney Docket Number	74577-025

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I am the:



Applicant/Inventor.



Assignee of record of the entire interest. See 37 CFR 3.71.

Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

SIGNATURE of Applicant or Assignee of Record

Name Gregg I. Goldman, Director and Counsel, Technology and Intellectual Property, UBS AG, Stamford Branch

Signature

Date 6-20-03Telephone 203.719.3099

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

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STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Cedric TANG

Application No./Patent No.: 09/843,124 Filed/Issue Date: April 26, 2001

Entitled: PRICING DELIVERY SYSTEM

UBS AG, a Corporation

(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. the assignee of the entire right, title, and interest; or

2. an assignee of less than the entire right, title and interest.
The extent (by percentage) of its ownership interest is _____ %

in the patent application/patent identified above by virtue of either:

A. An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, for which a copy thereof is attached.

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OR
B. A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

Cedric TANG UBS AG

1. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at Reel 012081, Frame 0111, or for which a copy thereof is attached.

2. From: _____ To: _____

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The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

Additional documents in the chain of title are listed on a supplemental sheet.

Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

6-20-03

Date

203.719.3099

Telephone number

Gregg I. Goldman

Typed or printed name

Signature

Director and Counsel

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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